




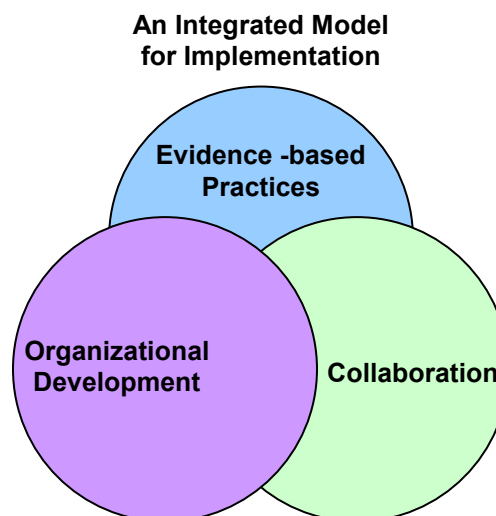
# Implementing Effective Correctional Management of Offenders in the Community

## Implementation Checklist

**August 20, 2004 DRAFT**



*This checklist is a tool to guide organizations in their self-assessment and planning for implementation of evidence-based practices for community corrections. It is built on the integrated model of implementation which focuses equally on evidence-based practices, organizational development, and collaboration. The model components are identified throughout the checklist by the following symbols:*







-  Evidence-based Practices,  
 Organizational Development, and  
 Collaboration.










### Instructions:







1. Bring together a cross-representational group of organizational members (management, supervisors, and line staff) to complete this checklist.
2. Using a scale of 1=low through 10=high, ask the group to rate how important they think each item is to your organization's implementation of evidence-based practices.
3. Using the same rating scale, ask the group to rate each item's current implementation status for your organization.





Evidence-Based Practices Implementation Checklist		Rate these items 1 (low) through 10 (high)	
		Import- ance	Current Status
	<b>Administration and Planning</b>		
	<b>1) Leadership</b> A) Identify organizational leadership that is committed to implementing EBP and has the leadership, change management, and coaching skills necessary to do so.		
	B) Identify champions throughout the organization who are committed to EBP and willing to assist in coordinating implementation.		
	<b>2) Vision / Mission Statement</b> A) Redefine vision, mission, and values statement to reflect a commitment to EBP.		
	B) Use an inclusive process that elicits agency-wide and stakeholder participation.		
	C) Post throughout organization.		
	D) Consistently reference statements in decision-making and day-to-day operations.		







Evidence-Based Practices Implementation Checklist		Rate these items 1 (low) through 10 (high)	
		Import- ance	Current Status
 	<b>3) Policy and Procedures</b> A) Write or revise policies and procedures to reflect the principles of EBP.		
	B) Use an inclusive process that elicits agency-wide and stakeholder participation.		
 	<b>4) Policy and Implementation Teams</b> A) Develop an implementation structure that identifies what work will occur at the state level versus the local level.		
	B) Establish statewide and local policy teams of system policy- and decision-makers to guide implementation at a systemic level.		
	C) Establish implementation and work teams that both staff the policy teams and focus on the logistics of implementation.		
	D) Using a chartering process, establish working agreements for teams to clarify roles, reporting and communication structures, membership and attendance expectations, decision-making processes, and information sharing and input gathering structure.		
	E) Establish the following during the first one or two meetings:		
	i) Identify a chair, lead worker, and / or coordinator		
	ii) vision, mission, and goal statements,		
	iii) resource needs, i.e., staffing and facilitation		
 	<b>5) System Stakeholders / Collaboration</b> A) Involve external stakeholders, such as other public safety partners, community-based providers, and local business representatives in the planning and implementation processes.		
	B) System Stakeholders & Policy Makers		
	i) Involve local government officials as partners and champions in the planning and implementation process.		
	ii) Provide brief educational presentations / training sessions to these officials regarding EBP.		
	iii) Meet regularly with and involve system stakeholders in the planning and implementation process. Provide regular implementation updates and share successes and challenges.		
	C) Media		
	i) Develop a media policy and identify an internal spokesperson.		
	ii) Educate the media about what EBP means in and to the field of corrections.		
	iii) Cultivate relationships with local media and invite them to visit facilities & offices, conduct ride-alongs, and hear about the work of the agency.		

Evidence-Based Practices Implementation Checklist		Rate these items 1 (low) through 10 (high)	
		Import- ance	Current Status
	D) Community-based Service Providers i) Involve community-based service providers in the planning and implementation of EBP. ii) Provide EBP-related training slots or sessions to community-based providers. iii) Incorporate requirements including the use of EBP, use of social learning theory and cognitive behavioral techniques, and measurable performance indicators into provider contracts. iv) Develop a system for monitoring and providing feedback regarding contract measurements and hold providers accountable for contract requirements.		
	<b>6) Planning</b> A) Develop a strategic action plan for implementing EBP. B) Include cross-agency and stakeholder representation in the planning process. C) Address operations, organizational development issues, and collaboration. D) Include measurable and time limited goals and objectives, and assign individuals responsibility for completion of each objective. E) Complete regular updates of the strategic action plan indicating implementation status and timeline for each objective. F) When possible, maintain a balanced workload by eliminating existing tasks when new tasks are adopted.		
	<b>7) Communication</b> A) Develop a plan / strategy for communicating information regarding planning and implementation throughout the organization and to external stakeholders. B) Establish a communication subcommittee responsible for ensuring communication flow. C) Celebrate successes, even small wins!		
	<b>8) Resources / Budget</b> A) Align budget structure with EBP priorities. i) Focus funding on programs that serve medium- and high-risk offenders. ii) Focus funding on programs that are based on EBP. iii) Focus funding on programs that provide evidence of recidivism reduction. iv) Redesign or eliminate programs that are in conflict with EBP.		

Evidence-Based Practices Implementation Checklist		Rate these items 1 (low) through 10 (high)	
		Import- ance	Current Status
<b>Human Resources &amp; Training</b>			
 	<b>9) Recruitment and Hiring</b> A) Develop recruiting strategies and literature that focus on the knowledge, skills, and attitude necessary to deliver EBP.		
	B) Rewrite job descriptions to emphasize the knowledge, skills, and attitude necessary to deliver EBP.		
	C) Develop interview and hiring processes that emphasize the knowledge, skills, and attitude necessary to delivery EBP.		
	D) Develop a succession planning strategy.		
	i) Provide leadership skill building opportunities to staff whose behavior and attitude are in alignment with EBP.		
	ii) Build on staff strengths.		
 	<b>10) Training</b> A) Review current training curriculum and identify training needs.		
	B) Incorporate experiential teaching techniques and adaptations for participant learning styles into trainings.		
	C) Develop a training plan that incorporates training all agency staff in the principles, philosophy, and implementation of EBP.		
	i) Include EBP training in staff orientation sessions.		
	ii) Include EBP training in officer academy / initial training.		
	iii) Train staff in motivational interviewing, social learning theory, and cognitive behavioral techniques.		
	iv) Train staff to administer assessment tools using motivational interviewing techniques.		
	v) Train staff / supervisors / management in the interpretation of data and other reporting mechanisms.		
	D) Train supervisors to conduct performance evaluations and ongoing performance monitoring and EBP.		
	E) Train management and supervisors in leadership skills and change management.		

Evidence-Based Practices Implementation Checklist		Rate these items 1 (low) through 10 (high)	
		Import- ance	Current Status
  	<b>11) Performance Management</b>		
	A) Develop performance evaluation forms that reflect the principles of EBP.		
	i) Use of positive reinforcements (4 to 1) with each other and offenders		
	ii) Contact with community supports during case planning		
	B) Develop a system of performance evaluation and monitoring that is ongoing (not limited to once / year).		
	C) Develop methods of feeding back performance information for all staff on a regular basis.		
	D) Develop methods of providing 360 degree feedback, especially for supervisor, mid-management, and executive level staff.		
	E) Conduct random video / audio / observation review of staff performance.		
	F) Conduct periodic and random reviews of assessments and case plans.		
	G) Develop methods of rewarding staff for aligning their behavior with EBP.		
	H) Promote staff based on their knowledge, skills, ability, and attitude related to EBP.		
	I) Measure supervisor performance based on the following:		
	i) Ability to teach and model EBP with staff and others.		
	ii) Ability to observe officer / offender interaction and provide feedback, reinforcement, and instruction in support of EBP.		
	J) Observe and / or provide clinical supervision for cognitive behavioral treatment groups.		
<b>Information Systems, Measurement, &amp; Evaluation</b>			
  	<b>12) Measurement</b>		
	A) Develop outcome measures to track progress toward strategic goals. (Incorporate data identified in measurement matrix.)		
	B) Develop process and intermediate measures that can be tracked on a regular basis to monitor progress toward strategic goals. (Incorporate measures identified in measurement matrix)		

Evidence-Based Practices Implementation Checklist		Rate these items 1 (low) through 10 (high)	
		Import- ance	Current Status
	<b>13) Information Management</b>		
	A) Develop or adjust information system to provide data required by measurement matrix.		
	B) Develop reporting mechanisms that allow for regular feedback of identified data to managers, supervisors, and staff.		
	C) Collect data regarding offender assessment and case management and provide regular reports back to managers, supervisors, and staff.		
	C) Measure incremental offender change and provide regular reports back to managers, supervisors, and staff.		
	<b>14) Research / Evaluation</b>		
	A) Develop research and evaluation capacity (hire well trained staff or partner with a local university / contractor).		
	B) Use the intermediate and outcome measures to measure the effectiveness of internal and contracted programs, treatment, and general supervision.		
	C) Evaluate implementation to ensure fidelity to implementation model.		
	D) Conduct regular, random case audits to ensure that officers are implementing assessments, developing case plans, following-through on case plans, and utilizing sanctions appropriately.		
<b>Assessment, Case Planning, Interventions, and Supervision</b>			
	<b>15) Assessment and Classification</b>		
	A) Use a preliminary screening tool to assess risk on all offenders at intake.		
	B) Place low-risk offenders on administrative caseloads.		
	C) Implement a third-generation assessment tool for all offenders that score as medium & high-risk on preliminary screening tool.		
	D) Implement specialized instruments / trailers for special populations.		
	E) Implement a system of regular reassessments and reflect changes in case plans.		
	F) Implement a quality assurance system to ensure that officers are correctly administering assessment instruments and using motivational interviewing techniques. Involve line staff in identifying what is and what isn't working well.		

Evidence-Based Practices Implementation Checklist		Rate these items 1 (low) through 10 (high)	
		Import- ance	Current Status
	<b>16) Case Planning</b>		
	A) Develop personalized case plans for all offenders.		
	B) Use the case plan to appropriately target interventions based on EBP:		
	i) Prioritize supervision and treatment resources for offenders assessed as higher risk.		
	ii) Address at least the top four criminogenic needs as identified by the assessment.		
	iii) Be responsive to temperament, learning style, motivation, gender, and culture when referring to programs.		
	iv) Incorporate appropriate doses of services, pro-social structure, and supervision based on risk level, i.e., structure 40-70% of high-risk offenders' time during the initial three to nine months.		
	C) Incorporate treatment into the full sentence / sanction requirements, ensuring that treatment interventions are delivered in a targeted and timely manner.		
	D) Incorporate engagement of natural and community supports in offenders' lives.		
	<b>17) Treatment / Programs</b>		
	A) Review current in-house treatment / programs for adherence to EBP, including the use of cognitive behavioral techniques, motivational interviewing, skill training with directed practice, and positive reinforcement.		
	B) Assess strengths and gaps using a program assessment tool, such as the CPAI.		
	C) Develop a plan for strengthening, eliminating, or adding programs in alignment with EBP.		
	<b>18) Intermediate Sanctions</b>		
	A) Assess availability of intermediate sanctions, identify gaps and develop a plan for increasing or adjusting availability.		
	B) Use a multidisciplinary team to develop guidelines for sanctions / revocations.		
	C) Consider the use of administrative sanctions in lieu of formal revocations, keeping the length of sanctions short, as timeliness of response is more important than duration.		